FORM PTO-1449

LIST OF DISCLOSURES CITED BY APPLICANT

(Use several sheets if necessary)

U.S. Dept. of Commerce

Patent and Trademark Office

Atty Docket No.

Serial No.
To Be Assigned

Applicant

Baughman et al.

Filing Date 20 Jun 2003

Group
To Be Assigned

## U.S. PATENT DOCUMENTS

xaminer iitials		Document Number	Date	Name	Class	Subclass	Filing Date
	* 1	<b></b>	30.06.87	Segal et al.	0000	Oubolado	- I ming Date
ALH	i	4,753,894	28.06.88	Frankel et al.			
	. 3	4,816,567	28.03.89	Cabilly et al.			
	. 4	4,935,341	19.06.90	Bargmann et al.			
	+ 5	4,943,533	24.07.90	Mendelsohn et al.			
	ł	4,968,603	06.11.90	Slamon et al.			
	* 7	4,975,278	04.12.90	Senter et al.		1	
	<b>*</b> 8	5,169,774	08.12.92	Frankel et al.			
	<b>*</b> 9	5,183,884	02.02.93	Kraus et al.			
	* 10	5,288,477	22.02.94	Bacus, S.			
	* 11	5,359,046	25.10.94	Capon et al.			
	* 12	5,367,060	22.11.94	Vandlen et al.			
	* 13	5,401,638	28.03.95	Carney et al.			
	* 14	5,464,751	07.11.95	Greene et al.			
	* 15	5,480,968	02.01.96	Kraus et al.			
	* 16	5,578,482	26.11.96	Lippman et al.			
	* 17	5,604,107	18.02.97	Carney et al.			
	* 18	5,641,869	24.06.97	Vandlen et al.			
	* 19	5,663,144	02.09.97	Greene et al.			
	* 20	5,677,171	14.10.97	Hudziak et al.			
	* 21	5,705,157	06.01.98	Greene, M. L.			
	* 22	5,720,937	24.02.98	Hudziak et al.			
	* 23	5,720,954	24.02.98	Hudziak et al.			
	* 24	5,725,856	10.03.98	Hudziak et al.			
	* 25	5,726,023	10.03.98	Cheever et al.			
	* 26	5,728,687	17.03.98	Bissery, M.			
	* 27	5,747,261	05.05.98	King et al.			
	* 28	5,770,195	23.06.98	Hudziak et al.	1		
	* 29	5,772,997	30.06.98	Hudziak et al.	-		
	* 30	5,776,427	07.07.98	Thorpe et al.			
1 1	* 31	5,783,186	21.07.98	Arakawa et al.		1	
		5,801,005	01.09.98	Cheever et al.			
	* 33	5,821,337	13.10.98	Carter et al.			
$ \cdot $		5,824,311	20.10.98	Greene et al.	}	}	
$\mathbf{V}$ (	* 35	5,834,229	10.11.98	Vandlen et al.		1	•
	* 36	5,837,243	17.11.98	Deo et al.	1	1 1	

/Anne Holleran/ (08/02/2006) Onsidered

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

		•					She	et <u>2</u>	of <u>8</u>
FC	ORM	PTO-	1449		U.S. Dept. of Commerce	Atty Docket No.			
					Patent and Trademark Office	P1775R1D1	То	Be Assign	ned
L	DRM PTO-1449   U.S. Dept. of Commerce Patent and Trademark Office   Patent and Trademark Offic								
	11	lea eas	Palent and Trademark Office   Pale						
	ŢĊ	/3E 3E	erai sireets ii fiecessai	וני			то	Be Assig	ned
					U.S. PATENT DOCUMENTS				
xam					Ni	Class	Cubalana	Filing	Data
nitials				L		Class	Subciass	Filing	Date
A.	LH	l	Į.	1			İ	1	
i		1		1				l	
ı		l							
		ļ.						ł	
ı		* 41	1		Į.	į	ļ	Į.	
		* 42	5,869,445	09.02.99	Cheever et al.		İ	1	
		* 43	5,876,712	02.03.99	Cheever et al.	i ·		Ì	
		* 44	5,877,305	02.03.99	Huston et al.	į	İ	ļ	
		* 45	5,908,835	01.06.99	Bissery, M.			1	
		* 46	5,910,486	08.06.99	Curiel et al.	ì		]	
		* 47	5,922,845	13.07.99	Deo et al.			!	
		* 48	5,939,531	17.08.99	Wels et al.	ĺ		į	
I	,	* 49	5,968,511	19.10.99	Akita et al.			İ	
		* 50	5,977,322	02.11.99	Marks et al.	1	1	Í	
		* 51	5,985,553	16.11.99	King et al.		ļ	ł	
		* 52	6,015,567	18.01.00	Hudziak et al.	İ		į	
ı		* 53	6,028,059	22.02.00	Curiel et al.	j		}	
		* 54	6,054,297	25.04.00	Carter et al.				
i		* 55	6,054,561	25.04.00	Ring, D. B.				
		* 56	6,096,873	01.08.00	Schaefer et al.	1			
				26.09.00	1			1	
	,			ŀ		ļ		i	
$\bigvee$	/		Ì	1	i,				
			10,333,330	1	<u> </u>		<u></u>	1,	
xami	ner		<del> </del>	1		<del></del>	1	Transla	tion
itials			Document Number	Date	Country	Class	Subclass		
ΑI	Н	* 60	0,003,089 A1	25.07.79	EPO (ENGLISH ABSTRACT ATTACHED)				
ı		* 61	0,599,274 A1	01.06.94	EPO		1		
		* 62	616,812 A1	28.09.94	EPO		1	1	
		* 63	711,565	26.08.98	EPO			[	
		* 64	2,761,543B2	04.06.98	JAPAN (TRANSLATION ATTACHED)		[		
		<b>*</b> 65	2,895,105B2	24.05.99	JAPAN (ENGLISH ABSTRACT AND CLA	IMS)			
		<b>*</b> 66	3-240498	25.10.91	JAPAN (ENGLISH ABSTRACT ATTACHE	D)		, ,	
		* 67	5-117165	14.05.93	JAPAN (ENGLISH ABSTRACT ATTACHE	D)			
		* 68	5-170667	09.07.93	JAPAN (ENGLISH ABSTRACT ATTACHE	D)		1	

JAPAN (ENGLISH ABSTRACT ATTACHED)

**Date Considered** 

/Anne Holleran/ (08/02/2006) \*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

24.08.93

Examiner

**FORM PTO-1449** 

U.S. Dept. of Commerce

Patent and Trademark Office

Atty Docket No. Serial No.
P1775R1D1 To Be Assigned

Applicant

Baughman et al.

20 Jun 2003

Filing Date

Group
To Be Assigned

## LIST OF DISCLOSURES CITED BY APPLICANT

(Use several sheets if necessary)

## **FOREIGN PATENT DOCUMENTS**

				FOREIGN PATENT DOCUMENTS			
Examiner nitials		Document Number	Date	Country	Class	Subclass	Translation Yes No
ALH	<b>*</b> 70	5-317084	03.12.93	JAPAN (ENGLISH ABSTRACT ATTACHED)			
ı	* 71	7-59588	07.03.95	JAPAN (ENGLISH ABSTRACT ATTACHED)			
	+ 72	95,006,982B2	30.01.95	JAPAN (ENGLISH ABSTRACT AND CLAIMS)			
-	<b>*</b> 73	WO 00/61185	19.10.00	PCT		1	
1	* 74	WO 89/06692	27.07.89	PCT			
	* 75	WO 90/14357	29.11.90	PCT			
	* 76	WO 91/00360	10.01.91	PCT			
	* 77	WO 92/10573	25.06.92	PCT			
	* 78	WO 92/20373	26.11.92	PCT		1	
	* 79	WO 92/20798	26.11.92	PCT			
1	* 80	WO 93/12220	24.06.93	PCT			
	* 81	WO 93/21232	28.10.93	PCT			
	* 82	WO 93/21319	28.10.93	PCT			
	* 83	WO 94/00136	06.01.94	PCT		Ì	
1	* 84	WO 94/04690	03.03.94	PCT		1	
1	* 85	WO 94/22478	13.10.94	PCT		Ì	
	* 86	WO 94/28127	08.12.94	PCT			
	* 87	WO 95/16051	15.06.95	PCT			
	* 88	WO 95/17507	29.06.95	PCT		l	
	* 89	WO 95/28485	26.10.95	PCT		ı	
	<b>+</b> 90	WO 96/18409	20.06.96	PCT		)	1
	* 91	WO 96/27011	06.09.96	PCT			
İ	* 92	WO 97/04801	13.02.97	PCT			
	* 93	WO 97/20858	12.06.97	PCT			
	* 94	WO 97/27848	07.08.97	PCT			
	* 95	WO 97/35885	02.10.97	PCT			
	* 96	WO 97/38731	23.10.97	PCT			
	<b>*</b> 97	WO 98/02541	22.01.98	PCT .			
	* 98	WO 98/17797	30.04.98	PCT			
	* 99	WO 98/45479	15.10.98	PCT			
	*100	WO 99/31140	24.06.99	PCT			
<b>V</b>	+101	WO 99/48527	30.09.99	PCT			

## OTHER DISCLOSURES (Including Author, Title, Date, Pertinent Pages, etc.)

ALH

\*102

Arteaga et al., "p185C-erbs-2 Signaling Enhances Cisplatin-induced Cytotoxicity in Human Breast
Carcinoma Cells: Association Between an Oncogenic Receptor Tyrosine Kinase and Drug-induced DNA Repair"
Cancer Research 54(14):3758-3765 (Jul 15, 1994)

Bacus et al., "Differentiation of Cultured Human Breast Cancer Cells (AU-565 and MCF-7) Associated With
Loss of Cell Surface HER-2/neu Antigen" Molecular Carcinogenesis 3(6):350-362 (1990)

Examiner

/Anne Holleran/ (08/02/2006) Anne Holleran/

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FOR	M PTO	1449 U.S. Dept. of Commerce	Atty Docket No.	Serial No.
		Patent and Trademark Office	P1775R1D1	To Be Assigned
	T 0		Applicant	_
LIS	ט אט ו	ISCLOSURES CITED BY APPLICANT	Baughman et al.	
1	(Use se	veral sheets if necessary)	Filing Date	Group
			20 Jun 2003	To Be Assigned
_		OTHER DISCLOSURES (Including Author, Title, Date,	• •	
ALI	H +104	Bacus et al., "Tumor-inhibitory Monoclonal Antibodies to the HEI of Human Breast Cancer Cells" Cancer Research 52(9):2580-2589 (N	R-2/Neu Receptor Indu May 1, 1992)	ce Differentiation
	*105	Baselga and Mendelsohn, "Receptor Blockade With Monoclonal Antil Ther. 64:127-154 (1994)	oodies As Anti-Cancer	Therapy" Pharmac.
	*106	Baselga et al., "Anti HER2 Humanized Monoclonal Antibody (MAb) / Chemotherapy Against Human Breast Carcinoma Xenografts" Proceed: (Abstract #53), Dallas, TX 13:63 (Mar 1994)	ings of ASCO-13th Annu	ual Meeting
	*107	Baselga et al., "HER2 Overexpression and Paclitaxel Sensitivity Implications" Oncology (Supplement No. 2) 11(3):43-48 (March 1997)	97)	_
	*108	Baselga et al., "Monoclonal Antibodies Directed Against Growth I Chemotherapeutic Agents." <u>Annals of Oncology</u> (abstract #010) 5(8		nce the Efficacy of
	*109	Baselga et al., "Phase II Study of Weekly Intravenous Recombinar Antibody in Patients With HER2/neu-Overexpressing Metastatic Bre 14(3):737-744 (Mar 1996)		
	*110	Baselga et al., "Recombinant Humanized Anti-HER2 Antibody (Herce of Paclitaxel and Doxorubicin against HER2/neu Overexpessing Humanized 58:2825-2831 (July 1998)	nan Breast Cancer Xend	ografts" <u>Cancer</u>
	*111	Carbonell Castellon et al., "Efficacy and safety of 3-weekly Her HER2-positive metastatic breast cancer (MBC): preliminary data i Oncol (Abstract #73 from the 2002 ASCO Meeting) 21:19a (2002)		
	*112	Carbonell et al., "Efficacy and safety of 3-weekly Herceptin momenta metastatic breast cancer: preliminary data from a phase II study Meeting of the American Society of Clinical Oncology, May 18-21,	" (Oral presentation	at the 38th Annual
	*113	Carter et al., "Humanization of an Anti-p185HER2 Antibody For Hu Sci. USA 89:4285-4289 (May 1992)		
	*114	Chothia and Lesk, "Canonical Structures for the Hypervariable Re 196:901-917 (1987)	gions of Immunoglobul	ins" <u>J. Mol. Biol</u>
	*115	Cobleigh et al., "Multinational study of the efficacy and safety antibody in women who have HER2-overexpressing metastatic breast chemotherapy for metastatic disease" Journal of Clinical Oncolog	cancer that has prog	ressed after
	*116	D'Souza and Taylor-Papadimitriou., "Overexpression of ERBB2 in Finhibition of Transcription of the E-Cadherin Gene." Proc. Natl. 19, 1994)	luman Mammary Epitheli	al Cells Signals
	*117	De Santes et al., "Radiolabeled Antibody Targeting of the HER-2/ 52:1916-1923 (1992)	neu Oncoprotein" Cano	er Research
	+118	Di Fiore et al., "erbB-2 Is A Potent Oncogene When Overexpressed 237(4811):178-182 (Jul 10, 1987)	In NIH/3T3 Cells." S	Science
	*119	Drebin et al., "Down-Modulation of an Oncogene Protein Product a Phenotype by Monoclonal Antibodies" <u>Cell</u> 41(3):695-706 (Jul 1985		ransformed
	*120	Drebin et al., "Inhibition of Tumor Growth By a Monoclonal Antib Tumor Antigen" <u>Proc. Natl. Acad. Sci.</u> 83:9129-9133 (1986)	ody Reactive With an	Oncogene-Encoded
	*121	Drebin et al., "Monoclonal Antibodies Reactive With Distinct Dom Molecule Exert Synergistic Anti-Tumor Effects In Vivo" <u>Oncogene</u>	ains of the neu Oncog 2:273-277 (1988)	ene-Encoded p165
	*122	Drebin et al., "Monoclonal Antibodies Specific for the new Oncog Effects In Vivo" <u>Oncogene</u> 2(4):387-394 (1988)		
V	*123	Fendly, B.M. et al., "Characterization of Murine Monoclonal Anti Epidermal Growth Factor Receptor or HER2/neu Gene Product" <u>Cance</u>	bodies Reactive to Ei r Research 50:1550-15	ther the Human 58 (Mar 1, 1990)
Examin	er	/Anne Holleran/ (08/02/2006Par	te Considered	
*Examination	ner: Ini	tial if reference considered, whether or not citation is in conformance with MPEP 6 primance and not considered. Include copy of this form with next communication to	09; draw line through citati	on

F	ORN	M PTO-	1449 U.S. Dept. of Commerce	Atty Docket No.	Serial No.
			Patent and Trademark Office	P1775R1D1	To Be Assigned
	1 107	r OE DI		Applicant	
	LIO I	OF DI	SCLOSURES CITED BY APPLICANT	Baughman et al.	
	(L	Jse sev	veral sheets if necessary)	Filing Date	Group
<u> </u> -				20 Jun 2003	To Be Assigned
			OTHER DISCLOSURES (Including Author, Title, Date,		
4	LH	+124	Fleiss, JL Statistical Methods for Rates and Proportions, 2nd ed (1981)	dition, New York, NY:	Wiley pps. 13-17
		-124	<u> </u>		·
ļ 	L	*125	Gelmon et al., "Pharmacokinetics and safety of Herceptin when a metastatic breast cancer" (Oral presentation at the 37th Annual Clinical Oncology, May 12-15, 2001 in San Francisco, CA)		
		*126	<b>\</b>		
		*127	Goldenberg, M., "Trastuzumab, a Recombinant DNA-Derived Humanize the Treatment of Metastatic Breast Cancer" Clinical Therapeutics	2 21(2):309-318 (1999	
 		*128	Green et al., "Preclinical Evaluation of WR-151327: An Orally Ac Research 54(3):738-741 (Feb 1, 1994)		
		+129	Guy et al., "Expression of the neu Protooncogene in the Mammary Metastatic Disease." Proc. Natl. Acad. Sci. USA 89(22):10578-105	882 (Nov 15, 1992)	
		<b>*130</b>	Hancock et al., "A Monoclonal Antibody Against the c-erbB-2 Prot cis-Diamminedichloroplatinum Against Human Breast and Ovarian Tu 51:4575-4580 (Sep 1, 1991)	mor Cell Lines" Cance	er Research
		*131	Harris et al., "A population pharmacokinetic (PK) model for Hero dosing" (Oral presentation at the 38th Annual Meeting of the Ame 18-21, 2002 in Orlando, Florida)	rican Society of Cli	nical Oncology, May
		*132	Harris et al., "A population pharmacokinetic (PK) model for tras- clinical dosing" Proc Am Soc Clin Oncol (Abstract #488) 21:123a	(2002)	
		*133	Harwerth et al., "Monoclonal Antibodies Against the Extracellula as Partial Ligand Agonists" <u>Journal of Biological Chemistry</u> 267(	21):15160-15167 (Jul	25, 1992)
		ı	Hudziak et al., "Increased Expression of the Putative Growth Fac Transformation and Tumorigenesis of NIH 3T3 Cells." Proc. Natl. 1987)	Acad. Sci. USA 84(20)	:7159-7163 (Oct
		*135	Hudziak et al., "p185HER2 Monoclonal Antibody Has Antiproliferat Human Breast Tumor Cells to Tumor Necrosis Pactor" <u>Molecular &amp; C</u>	ellular Biology 9(3):	:1165-1172 (Mar 1989)
		*136	Hynes and Stern., "The Biology of erbB-2/neu/HER-2 and Its Role Acta 1198(2-3):165-184 (Dec 30, 1994)		
		*137	Ilgen et al., "Characterization of anti-HER/2 antibodies which i in vitro" Proceedings of the American Association for Cancer Res	earch (abstract #3209	9) 37:470 (Mar 1996)
		*138	Jones et al., "Replacing the Complementarity-Determining Regions Mouse." <u>Nature.</u> 321:522-525 (May 29, 1986)		
		*139	Kasprzyk et al., "Therapy of an Animal Model of Human Gastric Ca Monoclonal Antibodies" <u>Cancer Research</u> 52(10):2771-2776 (May 15,	1992)	
		*140	Kotts et al., "Differential Growth Inhibition of Human Carcinoma Directed against the Extracellular Domain of the HER2/ERBB2 Prot 26(3):59A (1990)	ooncogene" <u>In Vitro</u> (	Abstract #176)
		*141	Kumar et al., "Regulation of Phosphorylation of the c-erbB-2/HER and Serum Growth Factor(s) in Human Mammary Carcinoma Cells" Mol (Feb 1991)	ecular & Cellular Bic	logy 11(2):979-986
$\frac{1}{1}$		*142	Lewis et al., "Differential Responses of Human Tumor Cell Lines Cancer Immunol. Immunother. 37:255-263 (1993)		
Ψ		*143	Lewis et al., "Growth Regulation of Human Breast and Ovarian Tum Requirement of ErbB2 as a Critical Component in Mediating Heregu 56:1457-1465 (Mar 15, 1996)	or Cells by Heregulin lin Responsiveness" C	: Evidence for the ancer Research
Exar	niner		/Anne Holleran/ (08/02/2006)	e Considered	
*Exa	amine not ir	er: Initi n confo	ial if reference considered, whether or not citation is in conformance with MPEP 6 ormance and not considered. Include copy of this form with next communication to	09; draw line through citation applicant.	on

F	ORM PT	TO-1449		U.S. Dept. of Commerce	Atty Docket No.	Serial No.
i				Patent and Trademark Office	P1775R1D1	To Be Assigned
١.		. DIGG! AGUIDEG	OTTED DV 400140417	Tatem and Trademan Onice	Applicant	
'	LIST OF	DISCLOSURES	S CITED BY APPLICANT		Baughman et al.	
1	(Use	several sheets if	necessary)		Filing Date	Group
<u> </u>			<del></del>		20 Jun 2003	To Be Assigned
]				OSURES (Including Author, Title, Dat		
	3717			kinetics of Herceptin administ	ered with paclitaxel e	every three weeks"
	ALIF 1		ncer Res Treat (abstrac			
	*14	45 HER-2/neu	Gene Product c-erbB-2'	the Internalization of a Murin " <u>Cancer Research</u> 51(19):5361-	3369 (Oct 1, 1991)	-
	*14	46 Receptor M	Monoclonal Antibodies"	of Human Tumor Cells in Athyo Cancer Research 44(3):1002-10	07 (Mar 1984)	
	*14	47 c-erbB-2 F	Protooncogene Product"	onal Antibody That Recognizes a Jpn J. Cancer Res. 80:10-14 (	January 1989)	
	*14		al., "c-erbB-2 Oncopro	otein Expression in Primary Hur	man Tumors" <u>Cancer</u> 65(	1):88-92 (Jan 1, 1990)
	•14	49 Oncogene P	Product, p185" Oncogene			
	*15	50 Annals of	Oncology (abstract #04	ockade and Chemotherapy: A New 10) 7(Suppl. 1):22 (1996)		
	*15	Product, p	o185neu" <u>Methods in Enz</u>	s of Monoclonal Antireceptor A symology 198:277-290 (1991)		
	*15	52 antibodies 67(10):617	s to the C4 domain of g 79-6191 (Oct 1993)	pecificity and binding affinit p120 from human immunodeficier	cy virus type 1* Journ	nal of Virology
	*15	53  Suppl 10):	S10-3-S10-10 (Aug 1997			
	*15	used for t	reatment of human brea	ts of combinations of HER-2/nest cancers <u>Oncogene</u> 18:2241-2	251 (1999)	_
	*15	55 anti-p185H breast can	ER2/neu monoclonal ant: cer refractory to chem	f receptor-enhanced chemosensi ibody plus cisplatin in patien otherapy treatment" Journal of	ts with HER2/neu-overe	expressing metastatic
士	*15	Breast Can	cer Refractory to them	f Receptor-Enhanced Chemosensi body Blue Cieplatin in Patien Cherapy Treatment Journal of	s With HER2/neu-Overe	xpressing Metastatic
	*15	Ovarian Car	ncer Cells" <u>Oncogene</u> 9	-2/neu Receptor Blocks DNA Rep :1829-1838 (1994)	air After Cisplatin in	n Human Breast and
	*15	(September	1, 1993)	an Antibody Directed Against I		
	*15	9 Women with 18:137a (19	Metastatic Breast Can 999)	of Docetaxel and Herceptin as cer Whose Tumors Overexpress H	ER2" Proceedings of AS	SCO (Abstract #523)
	*160	0 cancer: a p	paradigm for the devel	-2 proto-oncogene as a prognos opment of other macromolecular	markersa review" Ge	<u>ne</u> 159(1):19-27 (Jun
	*16:	1 adhesion mo	olecule-1 to α4β1" <u>Jou</u>	equirements for adhesion of so rnal of Cell Biology 125(6):13	95-1406 (Jun 1994)	
$\perp$	*162	2		an Antibodies for Therapy" <u>Nat</u>		
$\underline{\Psi}$	*163	human tumor	ss" J. Cellular Biocher	ween growth factor receptors as n. 35(4):315-320 (1987)	nd corresponding monoc	lonal antibodies in
Exam				lleran/ (08/02/2006)	ate Considered	
*Examilian	miner: I ot in co	Initial if reference informance and r	considered, whether or not considered. Include copy	citation is in conformance with MPEP of this form with next communication	609; draw line through cita to applicant.	tion

FO	RM PTO-	1449 U.S. Dept. of Commerce	Atty Docket No.	Serial No.
		Patent and Trademark Office	P1775R1D1	To Be Assigned
			Applicant	
LIS	ST OF DI	SCLOSURES CITED BY APPLICANT	Baughman et al.	
	(Use ser	veral sheets if necessary)	Filing Date	Group
			20 Jun 2003	To Be Assigned
		OTHER DISCLOSURES (Including Author, Title, Da		
AI	H +164	Sarup et al., "Characterization of an Anti-P185HERZ Monoclona Function and Inhibits Tumor Cell Growth" <u>Growth Regulation</u> 1:	l Antibody that Stimula :72-82 (1991)	tes Receptor
	*165	Schlom, J., "Monoclonal Antibodies: They're More and Less The Oncology, Broder, S. ed., Baltimore, MD:Williams & Wilkins, O		
	*166	Scott et al., "p185HER2 Signal Transduction in Breast Cancer 266(22):14300-14305 (Aug 5, 1991)	Cells" Journal of Biolo	gical Chemistry
	*167	Seifert et al., "Dexrazoxane in the prevention of doxorubicing Pharmacotherapy 28(9):1063-1072 (Sep 1994)	•	<del></del>
	*168	Semba et al., "A v-erbB-related protooncogene, c-erbB-2, is c factor-receptor gene and is amplified in a human salivary gla USA 82:6497-6501 (1985)	and adenocarcinoma" Proc	. Natl. Acad. Sci.
	*169	Shawver et al., "Ligand-Like Effects Induced by Anti-c-erbB-2 Not Required for Growth Inhibition of Human Carcinoma Cells" 1994)	Cancer Research 54(5):1	367-1373 (Mar 1,
	*170	Shepard et al., "Monoclonal Antibody Therapy of Human Cancer: Clinic" J. Clin. Immunol. 11(3):117-127 (1991)		-
	*171	Sims et al., "A Humanized CD18 Antibody Can Block Function Wi Immunology 151(4):2296-2308 (Aug 1993)	thout Cell Destruction"	The Journal of
	*172	Singal and Iliskovic, "Doxorubicin-induced cardiomyopathy" Ne (Sep 24, 1998)	w England J. of Medicin	<u>e</u> 339(13):900-905
	*173	Singal et al., "Combination therapy with probucol prevents ad Molecular & Cellular Cardiology 27(4):1055-1063 (Apr 1995)	riamycin-induced cardio	myopathy" <u>Journal of</u>
	*174	Slamon et al., "Human Breast Cancer: Correlation of Relapse a HER-2/neu Oncogene" <u>Science</u> 235:177-182 (Jan 9, 1987)	nd Survival with Amplif	ication of the
	*175	Slamon et al., "Studies of the HER-2/neu Proto-Oncogene in Hu 244:707-712 (May 12, 1989)		<del></del>
	*176	Slamon et al., "Use of chemotherapy plus a monoclonal antibod that overexpresses HER2" <u>New England J. of Medicine</u> 344(11):7	y against HER2 for meta 83-792 (Mar 15, 2001)	static breast cancer
	*177	Sliwkowski et al., "A humanized monoclonal antibody for the t cancer" Proceedings of the American Association for Cancer Re		
	*178	Sliwkowski et al., "Coexpression of erbB2 and erbB3 Proteins Heregulin" <u>Journal of Biological Chemistry</u> 269(20):14661-1466	Reconstitutes a High Af 5 (May 20, 1994)	finity Receptor for
	*179	Stancovski et al., "Mechanistic Aspects of the Opposing Effec Receptor on Tumor Growth" Proc. Natl. Acad. Sci. USA 88(19):8	ts of Monoclonal Antiboo 691-8695 (Oct 1, 1991)	dies to the ERBB2
	*180	Stevenson et al., "A Chimeric Antibody With Dual Fc Regions (IgG Hinge." Anti-Cancer Drug Design. 3(4):219-230 (1989)	bisFabFc) Prepared by Ma	anipulations at the
	*181	Suresh et al., "Bispecific Monoclonal Antibodies from Hybrid 121:210-228 (1986)	Hybridomas" <u>Methods in B</u>	Enzymology
	*182	Tagliabue et al., "Selection of Monoclonal Antibodies Which I of p185HER2 and Growth Inhibition of Cells With HER2/NEU Gene Cancer 47(6):933-937 (Apr 1, 1991)	Amplification Internat	ional Journal of
$\overline{\Psi}$	*183	Verhoeyen et al., "Reshaping Human Antibodies: Grafting an An (Mar 25, 1988)	tilysozyme Activity" <u>Sci</u>	ience 239:1534-1536
Examir	ner	/Anne Holleran/ (08/02/2006)	Date Considered	
		tial if reference considered, whether or not citation is in conformance with MPE primance and not considered. Include copy of this form with next communication		ion

Sheet	a	οf	Я
OHEEL	•	UI.	-

	FORM	PTO-	1449 U.S. Dept. of Commer	ce	Atty Docket No.	Serial No.
ı			Patent and Trademark O	ffice	P1775R1D1	To Be Assigned
		0E DI			Applicant	
	LIST	OF DI	SCLOSURES CITED BY APPLICANT		Baughman et al.	
	(L	lse sev	reral sheets if necessary)		Filing Date	Group
<u> </u>					20 Jun 2003	To Be Assigned
			OTHER DISCLOSURES (Including Author, Title,	Date,	Pertinent Pages, etc.)	
			Verma et al., "Efficacy and safety of three-weekly hercept			
ĺ	ALI	*184	metastatic breast cancer: preliminary results of a phase I only) 37:S146 (2001)			
		*185	Vitetta and Uhr, "Monoclonal Antibodies as Agonists: An Ex Cancer Research 54(20):5301-5309 (Oct 15, 1994)	pande	d Role for Their Use	in Cancer Therapy"
		*186	Vogel et al., "First-Line Herceptin Monotherapy in Metasta (2001)	tic B	reast Cancer" <u>Oncolog</u>	y 61(Suppl. 2):37-42
		*187	Washington et al., "A population pharmacokinetic (PK) mode Clin Pharmacol Ther (abstract only) 71:P12 (2002)	l for	trastuzumab (T) follo	owing weekly dosing"
			Watanabe et al., "Pharmacokinetically guided dose escalati			
		*188	patients with HER2/NEU-overexpressing metastatic breast ca Clinical Oncology (Abstract 702 presented at the Annual AS	CO me	eting held May 15-18,	1998) 17:182a (1998)
		+100	Wolff et al., "Monoclonal antibody homodimers: enhanced an 53(11):2560-2565 (1993)	titumo	or activity in nude m	ce" Cancer Research
		-109				
		*19n	Xu et al., "Antibody-Induced Growth Inhibition is Mediated Distinct Epitopes on the Extracellular Domain of the c-erb			
			International Journal of Cancer 53(3):401-408 (Feb 1, 1993	)		1
		*191	Yamamoto et al., "Similarity of protein encoded by the hum receptor" (GenBank accession number X03363) (Mar 30, 1995)			
		*192	Yamamoto et al., "Similarity of protein encoded by the hum receptor" Nature 319:230-234 (1986)		-	_
1		*193	Zhang et al., "Shared antigenic epitopes and pathobiologic antibodies" Experimental and Molecular Pathology 67:15-25			rz/neu monoclonal
	_					
	_					
	1					
	_					
<b></b>	$\dashv$					
Exa	miner	l	/Anne Holleran/ (08/02/2006)	Da	te Considered	
*Ex	amine not in	r: Initi	al if reference considered, whether or not citation is in conformance with N mance and not considered. Include copy of this form with next communic	IPEP 6	09; draw line through citati	on

FORM PTO-1449

(Use several sheets if necessary)

LIST OF DISCLOSURES CHE

U.S. Dept. of Commerce

Patent and Trademark Office

Atty Docket No. P1775R1D1

Serial No. 10/600,152

**Applicant** 

Baughman et al.

Filing Date 20 Jun 2003 Group 1642

Evamina		T		T			Transla	tion
Examiner nitials		Document Number	Date	Country	Class	Subclass	Transla Yes	ition No
ALI	194	WO 01/00245	04.01.01	PCT				
				·				•
				·				
			•					
		·		·				
								ļ
,								
				_				
i								
				·		-		
						Î		
			,			·		
							i '	
,								
		·			•			
ļ						İ		
ĺ								
ļ								

/Anne Holleran/ (08/02/2006)

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.